

FORM PTO 1449 (modified)			ATTY DOCKET NO. 01263.001603	APPLICATION NO. 09/840,886		
U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE			APPLICANT Jason Peter Andrew Charlesworth et al.			
LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary)			FILING DATE April 25, 2001	GROUP 2641		
U.S. PATENT DOCUMENTS						
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	FILING DATE IF APPROPRIATE
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						Technology Center 2600
FOREIGN PATENT DOCUMENTS						
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	TRANSLATION YES/NO/ OR ABSTRACT
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)						
##	International Search Report for Application No. PCT/GB-00100718 not published					
##	European Search Report for EP-01-30-4243 not published					
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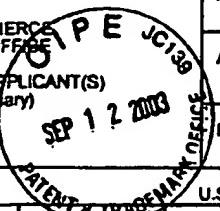
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Sheet 5 of 5

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JASON PETER CHARLESWORTH, ET AL.



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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
HV		2002/0052740	05/02/02	Charlesworth et al.	704	220	
		6,321,226	11/20/01	Garber et al.	707	10	
		6,061,679	05/09/00	Bournas et al.	707	3	RECEIVED SEP 15 2003
		5,907,821	05/25/99	Kajl et al.	704	4	
		5,870,740	02/09/99	Rose et al.	707	5	Technology Center 2600
		5,781,884	07/14/98	Pereira et al.	704	260	
		5,729,741	03/17/98	Llaguno et al.	395	615	
		5,721,939	02/24/98	Kaplan	395	759	
		5,649,060	07/15/97	Ellozy et al.	395	2.87	
		5,500,920	03/19/96	Kupiec	395	2.79	
HV		5,136,655	08/04/92	Bronson	381	41	

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HV		WO 02/27546	04/04/02	PCT			
HV		WO 00/54168	09/14/00	PCT			

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HV	Berge, C., "Graphs And Hypergraphs", North Holland Mathematical Library, Amsterdam (1976) p. 175.
HV	Gelin, P. & Wellekens, C. J., "Keyword Spotting For Video Soundtrack Indexing", 1996 IEEE Int. Conf. on Acoustics, Speech, and Sig. Proc., ICASSP-96, Conference Proceedings (May 7-10, 1996), Vol. 1, pp. 299-302.
HV	James, D.A. & Young, S. J., "A Fast Lattice-Based Approach To Vocabulary Independent Wordspotting", 1994 IEEE Int. Conf. on Acoustics, Speech and Sig. Proc., ICASSP-94, Vol. i (Adelaide, Australia, April 19-22, 1994), pp. I-377-380.

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>HV</i>	4,980,918	12/25/90	Bahl et al.	381	43	
<i>HV</i>	4,736,429	04/05/88	Niyada	704	254	RECEIVED
						SEP 15 2003
						Technology Center 200
FOREIGN PATENT DOCUMENTS						
DOCUMENT NUMBER	DATE	COUNTRY		CLASS	SUBCLASS	TRANSLATION YES/NO/ OR ABSTRACT
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)						
<i>HV</i>	Rabiner & Juang, "Fundamentals Of Speech Recognition" (1993), pp. 42-50.					
<i>HV</i>	Sankoff, D., et al, "Time Warps, String Edits, And Macromolecules: The Theory And Practice Of Sequence Comparison", Bell Laboratories and David Sankoff (1983), Ch. One, pp. 1-44; Part Three, pp. 211-214; Ch. Eleven, pp. 311-318, Ch. Sixteen, pp. 359-362.					
EXAMINER <i>Hutton</i>		DATE CONSIDERED <i>V6</i>			12/28/05	

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U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
HV	6,567,816	05/20/03	Desai et al.	707	102	
	6,487,532	11/26/02	Schoofs et al.	704	251	
	5,852,822	12/22/98	Srinivasan et al.	707	4	
	5,680,605	10/21/97	Torres	395	603	
	5,675,706	10/07/97	Lee et al.	395	2.65	
	5,594,641	01/14/97	Kaplan et al.	395	601	
	5,202,952	04/13/93	Gillick et al.	395	2	
HV	4,227,176	10/07/80	Moshier	340	146.3	
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HV	Okawa, S. et al., "Automatic Training of Phoneme Dictionary Based on Mutual Information Criterion", IEEE (1994), pp. 241-244.					
	Rahim, M. et al., "A Neural Tree Network for Phoneme Classification With Experiments on the Timit Database", IEEE (1992), pp. II-345-II-348.					
	Sankoff, D., et al, "Time Warps, String Edits, And Macromolecules: The Theory And Practice Of Sequence Comparison", Bell Laboratories and David Sankoff (1983), Ch. One, pp. 1-44; Part Three, pp. 211-214; Ch. Eleven, pp. 311-321, Ch. Sixteen, pp. 359-362.					
HV	Wang, H., "Retrieval of Mandarin Spoken Documents Based on Syllable Lattice Matching", Pattern Recognition Letters (June 2000), 21, pp. 615-624.					
EXAMINER		SEARCHED	INDEXED	DATE CONSIDERED 12/28/05		

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Sheet 1 of 1

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*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
HV	5,737,489	04/07/98	Chou et al.	395	2.65	
	5,999,902	12/07/99	Scahill et al.	704	240	
	6,192,337	02/20/01	Ittycheriah et al.	704	231	
	6,535,850	03/18/03	Bayya	704	239	
HV	6,567,778	05/20/03	Chao Chang et al.	704	257	
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HV	789,349	08/13/97	Europe			
	849,723	06/24/98	Europe			
	2,349,260	10/25/00	United Kingdom			
HV	00/31723	06/02/00	PCT			
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)						
HV	Gerber, C., "A General Approach to Speech Recognition", Proceedings of the Final Workshop on Multimedia Information Retrieval (Miro '95), Glasgow, Scotland (September 18-20, 1995) pp. 1-12.					
EXAMINER	Hillen V6		DATE CONSIDERED	12/28/06		

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*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
HV	5,640,487	06/17/97	Lau et al.	395	2.52	
	6,236,964 B1	05/22/01	Tamura et al.	704	254	
	6,272,242 B1	08/07/01	Saitoh et al.	382	187	
HV	6,314,400 B1	11/06/01	Klakow	704	257	
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HV	F. Schiel et al., "The Partitur Format at BAS", In Proc. of the First Int'l. Conference on Language Resources and Evaluation, Granada, Spain, 1998. L Complete dates

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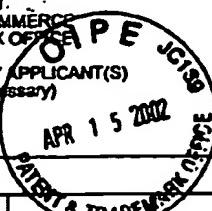
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U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)ATTY DOCKET NO.
01262.001603APPLICATION NO.
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JASON PETER ANDREW CHARLESWORTH ET AL.FILING DATE
April 25, 2001GROUP
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U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO/ OR ABSTRACT
AV	99/25581	05/27/99	PCT			
AV	99/25562	05/27/99	PCT			
AV	99/25576	05/27/99	PCT			
AV	99/25574	06/27/99	PCT			

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

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HV	6,182,039	1/01	Rigazio et al.	704	239	
HV	6,389,395	5/02	Ringland	704	242	RECEIVED
HV	5,983,177	11/99	Wu et al.	704	243	JAN 28 2003
HV	5,577,249	11/96	Califano	395	611	Technology Center 2600
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HV	WO 01/31627	5/01	WIPO			

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HV	Jokinen et al., "A Comparison of Approximate String Matching Algorithms," Software-Practice and Experience, 1996, Vol. 26, No. 12, pp. 1439-1458
HV	Kobayashi et al., "Matching Algorithms Between a Phonetic Lattice and Two Types of Templates - Lattice and Graph," IEEE, 1985, pp. 1597-1600
HV	Lee, Kai-Fu, "Automatic Speech Recognition," The Development of the SPHINX System, Kluwer Academic Publishers, pp. 28-29 (1989)
HV	Markowitz, "Using Speech Recognition," Prentice Hall, 1996, p. 221
HV	Micca, G. et al., "Three Dimensional DP for Phonetic Lattice Matching," Elsevier Science Publishers, 1987, pp. 547-551
HV	Ng, Kenny, "Survey of Approaches to Information Retrieval of Speech Messages," February 16, 1996, pp. 1-34
HV	Ng, Kenny, "Subword Unit Representations for Spoken Document Retrieval," Eurospeech, 1997
HV	Ng, Kenny, "Phonetic Recognition for Spoken Document Retrieval," ICASSP, 1998
HV	Srinivasan et al., "Phonetic confusion matrix based spoken document retrieval," Proceedings of the 23rd Annual International ACM SIGIR Conference on Research and Development in Information Retrieval, July 24-28, 2000, pp. 81-87
HV	Wechsler et al., "Spoken Document Retrieval Based on Phoneme Recognition," 1998, pp. 1-121

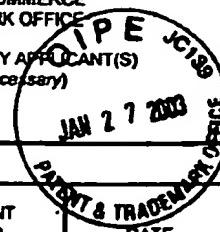
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TRANSLATION YES/NO/ OR ABSTRACT

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✓	Witbrock & Hauptmann, A.G., "Using Words and Phonetic Strings for Efficient Information Retrieval from Imperfectly Transcribed Spoken Documents," Proceedings of the 1997 2nd International Conference on Digital Libraries, July 1997, pp. 30-35
✓	Wold et al., "Content-Based Classification, Search, and Retrieval of Audio," IEEE Multimedia, Vol. 3, No. 3, 1996, pp. 27-36
✓	Wright, J. et al., "Statistical Models for Topic Identification Using Phoneme Substrings," IEEE, 1996, pp. 307-310
✓	"Maximum Entropy and Bayesian Methods," Cambridge, England, 1988, Proceedings of the Eighth Maximum Entropy Workshop, John Skilling (editor), published by Kluwer Academic Publishers, pp. 45-52
✓	Schmid, Phillip et al., "Automatically Generated Word Pronunciations from Phoneme Classifier Output," Statistical Signal and Array Processing, Minneapolis, April 27-30, 1993, ICASSP, Vol. 4, pp. 223-226
✓	"Template Averaging for Adapting a Dynamic Time Warping Speech Recognizer," IBM Technical Disclosure Bulletin, Vol. 32, No. 11, April 1, 1990, pp. 422-426
✓	Jain, N. et al., "Creating speaker-specific phonetic templates with a speaker-independent phonetic recognizer: implications for voice dialing," 1996 IEEE International Conference on Acoustics, Speech, and Signal Processing Conference Proceedings, 1996, Vol. 2, pp. 881-884
✓	Zobel, J. et al., "Phonetic String Matching: Lessons from Information Retrieval," Sigir Forum, Association for Computing Machinery, 1996, pp. 166-172
✓	European Search Report for UK Application GBA 9925561

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HV	4,985,924	1/91	Matsuura	704	239	RECEIVED JAN 28 2003 Technology Center 2800
HV	5,684,925	11/97	Morin et al.	704	239	
HV	4,736,429	4/88	Miyada et al.	704	264	
HV	5,737,723	4/98	Riley et al.	704	243	
HV	5,333,275	7/94	Wheatley et al.	704	231	
HV	5,075,896	12/91	Wilcox et al.	382	225	
HV	6,243,680	6/01	Gupta et al.	704	258	
HV	5,873,061	2/99	Haeb-Umbach et al.	704	251	

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HV	GB 2 355 835	5/01	United Kingdom			
HV	GB 2 355 836	5/01	United Kingdom			
HV	GB 2 355 837	5/01	United Kingdom			
HV	WO 98/47084	10/98	WIPO			
HV	WO 99/05681	4/99	WIPO			

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HV	Cassidy, S. & Harrington, J., "EMU: an Enhanced Hierarchical Speech Data Management System," Proc. Of the 6th Australian Speech Science and Technology Conference, 1996, pp. 381-386
HV	Foote, J., "Unconstrained Keyword Spotting Using Phone Lattices With Application To Spoken Document Retrieval," Computer Speech and Language, 11, 1997, pp. 207-224
HV	Gagnoulet et al., "Mairevox: A voice-activated information system," Speech Communication, Vol. 10, No. 1, 1991, pp. 23-31
HV	Haeb-Umbach et al., "Automatic Transcription of Unknown Words in a Speech Recognition System," IEEE, Vol. 1, 1995, pp. 840-843

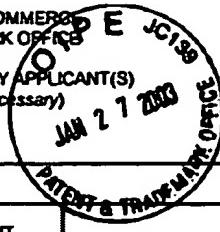
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HV	5,835,667	11/98	Wactlar et al.	386	96	RECEIVED JAN 28 2003
HV	6,026,398	2/00	Brown et al.	707		Technology Center 2600
HV	4,975,959	12/90	Benbassat	704	240	
HV	5,131,043	7/92	Fujii et al.	704	236	
HV	4,903,305	2/90	Gillick et al.	704	240	
HV	5,390,278	2/95	Gupta et al.	379	88.01	
HV	5,708,759	1/98	Kemeny	704	211	
HV	5,752,227	5/98	Lyberg	704	231	

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HV	0 649 144	7/94	Europe			
HV	0 597 798	10/93	Europe			
HV	0 689 153	5/95	Europe			
HV	GB 2 302 199	1/97	United Kingdom			
HV	GB 2 331 816	6/99	United Kingdom			

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HV Bahl et al., "A Method for the construction of acoustic Markov models for words," Oct. 1993, IEEE Transactions on Speech and Audio Processing, Vol. 1, Issue 4, pp. 443-452

HV Besling, S. et al. "A Statistical Approach To Multilingual Phonetic Transcription," Philips Journal of Research, Vol. 49, No. 4, 1995, pp. 367-379

HV Bird, Steven et al., "A Formal Framework for Linguistic Annotation," March 1999

HV Bird, Steven et al., "Towards A Formal Framework for Linguistic Annotations," Dec. 1998

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